

CHAPTER 1
PROGRAM BACKGROUND AND RESPONSIBILITIES

Crosswalk of State Operations Manual

Showing Previous Location

CHAPTER 1

PROGRAM BACKGROUND AND RESPONSIBILITIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Background</u>		
Medicare and Medicaid - Background	1000	SOM 1000
Basis for State Agency (SA) Activities Under Title XVIII and Title XIX of the Act	1002	SOM 1002
Title XVIII Agreements with States	1004	SOM 1004
HCFA's Role	1006	SOM 1006
Adjudication Authority	1008	SOM 1008
Certification Related Functions of SA	1010	SOM 1010
Explanation of Certification and Survey	1012	SOM 1012
Relationship of Survey Date to Date of Initial Medicare Approval	1014	SOM 1014
Approval and Correction of Deficiencies	1016	SOM 1016
Exceptions to SA Certification	1018	SOM 1018
Effect of Accreditation, Licensure, and Other Approval Programs on Medicare Standards	1020	SOM 1020

THE CERTIFICATION PROCESS

	<u>New SOM</u>	<u>Previous Location</u>
<u>Identification of Providers and Suppliers And Related Presurvey Activities</u>		
Certification Surveys - Citations and Responsibilities	2000	SOM 2000 ROM 1000
Meaning of “Providers” and “Suppliers”	2002	SOM 2002 ROM 2400
SA Identification of Potential Providers and Suppliers	2004	SOM 2004
Prioritizing SA Survey Workload - Initial Surveys and Recertification	2008	SOM 2008
Ascertaining Compliance with Civil Rights Requirements	2010	SOM 2010 ROM 2000, 2001
SA Identifying Eligible Providers and Suppliers	2012	SOM 2012
Statement of Financial Solvency (Form HCFA-2572)	2014	ROM 2002
Readmission to Medicare or Medicaid Program After Involuntary Termination - Reasonable Assurance	2016	SOM 2016 ROM 1004, 1007, 1008
Readmission Following Voluntary Termination of Program Participation	2017	ROM 1005
Reinstatement Following Termination of Swing-Bed Approval	2018	ROM 1006
<u>Hospitals</u>		
Hospitals - Definitions and Citations	2020	SOM 2020
Hospitals Accredited by JCAHO or AOA	2022	SOM 2022
Certification of Hospitals with Multiple Components as Single Hospitals	2024	SOM 2024
Certification of Parts of Institutions as Hospitals	2026	SOM 2026
Temporary Waivers Applicable to Rural Hospitals	2030	SOM 2030
Time Limit on Temporary Waiver	2034	SOM 2034
Hospital Providers of Extended Care Services (“Swing-Beds”)-- Citations and Description	2036	SOM 2036, 2036.1 ROM 1156, 1157, 1157.1
Requirements Assessed Prior to Survey for Swing-Bed Approval	2038	SOM 2038 ROM 1157, 1157.1, 1157.2
Survey Procedures for Swing-Bed Approval	2040	SOM 2040
Post Survey Procedures for Swing-Bed Hospitals	2041	SOM 2041
RO Approval Procedures for Swing-Bed Approval	2041.1	ROM 1157.1
Psychiatric Hospitals	2042	SOM 2042 ROM 1140
Accredited Hospitals Not Deemed to Meet Special CoPs	2044	SOM 2044
Distinct Part Psychiatric Hospitals	2048	SOM 2048
Medical Surgical Unit of Psychiatric Hospitals	2050	SOM 2050
Nonparticipating Emergency Hospitals	2052	SOM 2052
Christian Science Sanitoria	2054	SOM 2054 ROM 1165
RO Certification of Christian Science Sanitoria	2054.1	ROM 1165

	<u>New SOM</u>	<u>Previous Location</u>
<u>Hospices</u>		
Hospice - Citations and Descriptions	2080	SOM 2080
Hospice - Multiple Locations	2081	SOM 2081
Election of Hospice Benefits by Resident of SNF, NF, ICFs/MR, or Non-Certified Facility	2082	SOM 2082
Hospice Regulations and Non-Medicare Patients	2083	SOM 2083
Hospice Inpatient Services Furnished Directly or Furnished Under Arrangements	2084	SOM 2084
Operation of Hospice Across State Lines	2085	SOM 2085
Hospice Home Visits	2086	SOM 2086
Compliance with Advance Directives	2087	SOM 2087
<u>Intermediate Care Facilities for the Mentally Retarded</u>		
ICFs/MR - Citations and Descriptions	2130	SOM 2132
Distinct Part ICFs/MR	2134	SOM 2134
Approval Procedures for ICFs/MR	2138	SOM 2138
Assessment of ICFs/MR Based on CoPs for Active Treatment	2139	SOM 2139
Waiver and/or Variance of ICF/MR Requirements	2140	SOM 2140
Time Limited Certifications - ICFs/MR	2141	ROM 2230 SOM 2736
<u>Spell of Illness Certification</u>		
Purpose of Certifying §§1861(e)(1) and 1819(a)(1) - Status of Hospitals and SNFs	2160	SOM 2160
Defining Hospital for Spell of Illness, DME, and Home Health Benefit Purposes	2162	SOM 2162
When to Make Spell of Illness Certification	2164	SOM 2164
Criteria for Certifying §1819(a)(1) of the Act - Status of LTC Facilities other than SNFs	2166	SOM 2166
Additional Development Required for Spell of Illness Certifications	2168	SOM 2168
<u>Home Health Agencies (HHAs)</u>		
HHAs - Citations and Description	2180	SOM 2180
Organization of HHAs	2182	SOM 2182
Operation of HHAs Across State Lines	2184	SOM 2184
Health Facility-Based HHAs	2186	SOM 2186
Survey of State-Operated HHAs	2188	SOM 2188
Surveying Health Maintenance Organization-Operated HHAs	2194	SOM 2194
HHAs Survey Process for Determining Quality of Care	2196	SOM 2196
Standard Survey - Structure	2198	SOM 2198
Clinical Record and Home Visit Selection for Standard Survey	2200	SOM 2200
Conducting Home Visits	2202	SOM 2202
Assessing Compliance and Recording Information	2204	SOM 2204
Exit Conference	2206	SOM 2206

	<u>New SOM</u>	<u>Previous Location</u>
<u>Ambulatory Surgical Centers (ASCs)</u>		
ASCs - Citations and Description	2210	SOM 2210 ROM 1155
<u>Rural Health Clinics (RHCs)</u>		
RHCs - Citations and Description	2240	SOM 2240 ROM 1160
Conditions to be Assessed Prior to Scheduling RHCs Survey	2242	SOM 2242 ROM 1160
Preparing for RHCs Survey	2244	SOM 2244
Clinic's Request to Provide Visiting Nurse Services	2246	SOM 2246
Clinic's Request for Waiver of Staffing Requirements	2248	From 1996 Memo
RO Notification of RHC Approval	2249	From 1996 Memo
<u>Community Mental Health Centers (CMHCs)</u>		
CMHCs - Citations and Descriptions	2250	SOM 2250
Certification Process	2252	SOM 2252
<u>Rural Primary Care Hospitals (RPCBs)</u>		
Essential Access Community Hospital (EACH)/RPCB Program - Citations and Description	2254	SOM 2254 ROM 1158
Medicare Designation as an EACH - SA Procedures	2256	SOM 2256
Procedures for EACH Approval by RO	2256.1	ROM 1158.1
Medicare Participation by RPCB - SA Procedures	2258	SOM 2258
RO Procedures for RPCB Approval	2258.1	ROM 1158.2
RO Procedures for RPCB Swing-Bed Applications	2258.2	ROM 1158.3
RO Processing Complaints Against EACHs and RPCBs	2259	ROM 1158.4
RO Processing Denials or Termination for EACHs and RPCBs	2259.1	ROM 1158.5
RPCB Anti-Dumping Requirements	2260	SOM 2260
Advance Directives Requirements for RPCBs	2262	SOM 2262
<u>End Stage Renal Disease (ESRD) Facilities</u>		
ESRD Citations	2270	SOM 2270
Types of ESRD Facility	2272	SOM 2272
ESRD Application Requirement	2274	SOM 2274
SA Control of Form HCFA-3427	2276	SOM 2276
ESRD Survey Procedures	2278	SOM 2278 ROM 5200, 5200.1, 5200.2 5200.3 & 5200.4
Additional Conditions Assessed by the RO	2279	ROM 5204, 5205
RO Facility Classification	2280	ROM 5205.1
Provider Status: Renal Transplantation Center and Renal Dialysis Center (42 CFR 405.2131)	2280.4	ROM 5205.5
Furnishing Data and Information for ESRD Program Administration (42 CFR 405.2133)	2280.5	ROM 5205.6
Participation in Network Activities (42 CFR 405.2134)	2280.6	ROM 5205.7

CHAPTER 2

THE CERTIFICATION PROCESS

	<u>New SOM</u>	<u>Previous Location</u>
<u>End Stage Renal Disease (ESRD) Facilities (con't)</u>		
Minimal Laboratory Service Requirements for a Renal Dialysis Facility or a Renal Dialysis Center (42 CFR 2163(b) and A Renal Transplantation Center (42 CFR 405.2171(d))	2280.7	ROM 5205.8
Participation of Veterans Administration (VA Hospitals in the ESRD Program	2281	ROM 5207
RO Use of Provider Tie-In Notice, HCFA-2007, for Suppliers of ESRD Program Services (Exhibit 4-5)	2282	ROM 5211
Change of Ownership of Hospital-Located Outpatient Renal Dialysis Facilities (From Hospital to Non-Hospital) - RO Procedures	2283	ROM 5214
Termination Procedures	2284	ROM 5216
Alternative Sanctions for Failure to Participate in Network Activities	2285	ROM 5217
Identification of Facilities that Fail to Participate in Network Activities	2285.1	ROM 5217.1
Imposition of the Sanction	2285.2	ROM 5217.2
Duration and Removal of the Sanction	2285.3	ROM 5217.3
Notice and Appeal Rights	2285.4	ROM 5217.4
Continuous Ambulatory Peritoneal Dialysis Coverage (CAPD)	2286	ROM 5221
Classification of Maintenance Dialysis Facilities as Hospital-Based or Independent: Prospective Payment	2287	ROM 5222
<u>Providers of Outpatient Physical Therapy or Speech Pathology (OPT/OSP) Services</u>		
OPT/OSP - Citations and Description	2290	SOM 2290
Types of OPT/OSP Providers	2292	SOM 2292
Exceptions to CoPs	2294	SOM 2294
SA Verification of Services Provided	2296	SOM 2296
Site of Service Provision	2298	SOM 2298
SA Annual Report to RO on Location of Extension Units	2300	SOM 2300 ROM 1166
SA Survey of OPT/OSP Controlled and Extension Units of Providers Offering OPT Only	2302	SOM 2302 ROM 1166
OPT/OSP Provider Relinquishes Primary Site to CORF	2306	SOM 2306
<u>OPT Services Furnished by Physical Therapists in Independent Practice (PTIPs)</u>		
PTIPs - Citations and Description	2330	SOM 2330 ROM 1167
PTIPs in Full-Time Teaching Positions	2332	SOM 2330
PT with Office in Medical Institution	2334	SOM 2334
SA Review of PTIP Request to Establish Eligibility	2336	SOM 2336
Special Instructions for SA Completion of Physical Therapist in Independent Practice Survey Report, Form HCFA-3042	2338	SOM 2338 ROM 1167

CHAPTER 2

THE CERTIFICATION PROCESS

	<u>New SOM</u>	<u>Previous Location</u>
<u>OPT Services Furnished by</u> <u>Physical Therapists in Independent Practice (PTIPs) (con't)</u>		
Certification of PTIPs	2340	SOM 2340 ROM 1167
Recertification of PTIPs	2342	SOM 2342
Dual Certification as PTIP and Provider of OPT/OSP Services	2344	SOM 2344
PT with Office in Multiple States	2346	SOM 2346
<u>Outpatient Occupational Therapy (OOT) and Occupational Therapists in Independent Practice OTIPs)</u>		
OOT and OTIPs - Citations and Description	2350	SOM 2350
Providers of OOT	2351	SOM 2351
Occupational Therapy Services Provided by OTIPs	2352	SOM 2352
<u>Comprehensive Outpatient Rehabilitation Facilities (CORFs)</u>		
CORF - Citations and Description	2360	SOM 2360
Scope and Site of Services	2362	SOM 2362
CORF's Relationship with other Providers or Suppliers	2364	SOM 2364
Conversion of OPT/OSP to CORF	2366	SOM 2366
<u>Suppliers of Portable X-Ray Services</u>		
Suppliers of Portable X-Ray Services - Citations and Description	2420	SOM 2420
Location of Portable X-Ray Service	2422	SOM 2422
Suppliers Using Improperly labeled or Post-1974 Equipment	2424	SOM 2424
<u>Certification of Chiropractors to Furnish Specified Services</u>		
Chiropractors - Citations and Description of Services Covered	2450	SOM 2450
Education and Training Requirements for Chiropractors	2452	SOM 2452
SA Participation in Approving Chiropractors	2454	SOM 2454
<u>Screening Mammography</u>		
Mammography	2460	SOM 2460
<u>Life Safety Code (LSC)</u>		
LSC - Citations and Applicability	2470	SOM 2470 ROM 2200
LSC Surveys	2472	SOM 2472
Fire Safety SRFs (Form HCFA-2786 Series)	2474	SOM 2474
Fire Safety Survey Report - Short Form, Form HCFA-2786(C)	2476	SOM 2476
Application of Fire Safety Evaluation System (FSES)	2478	SOM 2478 ROM 2201
LSC Waivers	2480	SOM 2480 ROM 2205, 2215, 2220
Technical Bulletins	2482	SOM 2482

CHAPTER 2

THE CERTIFICATION PROCESS

	<u>New SOM</u>	<u>Previous Location</u>
<u>Rehabilitation Act</u>		
Compliance with §504 of Rehabilitation Act of 1973, As Amended	2490	SOM 2490 ROM 2225
<u>Utilization Review</u>		
Utilization Review	2496	SOM 2496
<u>The Survey Process</u>		
Conducting Initial Surveys and Scheduled Resurveys	2700	SOM 2700
SA Conducting Unscheduled Surveys	2702	SOM 2702
SA Presurvey Preparation	2704	SOM 2704
SA Survey Team Workload	2705	SOM 2705
SA Survey Team Composition	2706	SOM 2706
Facility Refuses to Allow Survey	2708	SOM 2708
Reviewing Eligibility and Disclosure of Ownership and Control (HCFA-1513) Forms at Beginning of Survey	2710	SOM 2710 ROM 1016
Use of Survey Protocol in Survey Process	2712	SOM 2712
During Survey	2713	SOM 2713
Interviewing Key Personnel	2714	SOM 2714
Application of Medicare/Medicaid Requirements to Private Pay Patients	2714.1	From 1995 Memo
Interviewing Residents Using LTC Survey Process	2715	SOM 2715
Special Survey of Pharmaceutical Service Requirements in SNFs, NFs, and ICFs/MR	2716	SOM 2716
Assistance in Surveying Psychiatric Hospitals	2718	SOM 2718
Completing Survey Report	2720	SOM 2720
Preparation for Exit Conference (Excluding SNFs and NFs)	2722	SOM 2722
Exit Conference	2724	SOM 2724
Summary of SA Certification Actions Performed After Survey	2726	SOM 2726
Limitations of Technical Assistance Afforded by Surveyors	2727	SOM 2727
Statement of Deficiencies and Plan of Correction, HCFA Form-2567	2728	SOM 2728
Followup on PoCs	2732	SOM 2732
SA Evaluation of Compliance	2734	SOM 2734
The Outcome-Oriented Process	2736	From 1996 Memo
<u>Processing Certifications</u>		
Forwarding Certifications to RO	2760	SOM 2760
Medicare/Medicaid Certification and Transmittal, Form HCFA-1539	2762	SOM 2762
SA Completion Instructions for Certification and Transmittal, Form HCFA-1539	2764	SOM 2764 ROM 1050
RO Completion Instructions for Certification and Transmittal, Form HCFA-1539	2764.1	ROM 1050
Intermediary Tie-In Activities	2765	ROM 1055
Spell of Illness Supplement, Form HCFA-1539A	2766	SOM 2766

CHAPTER 2

THE CERTIFICATION PROCESS

	<u>New SOM</u>	<u>Previous Location</u>
<u>Processing Certifications (con't)</u>		
Packet of Documentation Attached for Certification and Transmittal by SA	2772	SOM 2772
Routing of Medicaid-Only Certifications	2774	SOM 2774
RO Request for Additional Information	2776	SOM 2776
		ROM 1010
RO Review of SA Certifications	2777	ROM 1001
Objectives of RO Certification Review	2778	ROM 1002
RO Assignment of Provider and Supplier Identification Numbers	2779	ROM 1060
Effective Date of Provider Agreement, Form HCFA-1561	2780	ROM 2005
RO Countersigning Provider Agreement	2781	ROM 2008
RO Notice of Acceptance	2782	ROM 2012
Provider Tie-In Notice, Form HCFA-2007	2783	ROM 2020, 2312
Effective Dates of Certification of Coverage for Suppliers of Services	2784	ROM 2402, 2406
Strikes at Participating Facilities	2790	ROM 1141
<u>Organ Procurement Organizations (OPOs)</u>		
Organ Procurement Organizations - Citations and Description	2810	ROM 1144
Definitions	2810.1	ROM 1145
OPO Application Process - RO Responsibilities	2811	ROM 1146
OPO Initial Designation Requirements	2812	ROM 1147
Public Health Service (PHS) Grantees	2812.1	ROM 1147.1
OPO Network Membership	2812.2	ROM 1147.2
Designation of One OPO for a Service Area	2812.3	ROM 1147.3
Finding of Compliance	2812.4	ROM 1147.4
Finding of Non-Compliance	2812.5	ROM 1147.5
OPO Designation Procedures in Service Areas with Competing Applications	2813	ROM 1148
Redesignation of OPOs	2814	ROM 1149
OPOs Operating in a Noncontiguous U.S. State	2815	ROM 1150
Interim Designations	2816	ROM 1151
Opening Service Area for Competition	2817	ROM 1152
Unserviced Service Area	2818	ROM 1153
Changes in Ownership or Service Area	2819	ROM 1154
<u>Federally Qualified Health Centers (FQHCs).</u>		
Federally Qualified Health Centers (FQHCs) - Citations and Description	2815	ROM-IM 1000
RO Approval Process for FQHCs	2826	ROM-IM 1001

CHAPTER 3

ADDITIONAL PROGRAM ACTIVITIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Adverse Actions</u>		
Adverse Actions - General	3000	SOM 3000 ROM 4100, 4100.1
Initial Denials of Medicare Provider/Supplier Requests for Program Participation	3001	SOM 3001 ROM 4000
Basis for Terminating Provider Participation--Citations and Discussions	3005	SOM 3005 ROM 1200, 1201, 1202
Denial or Termination Based Upon Failure to Disclose Ownership and Control Interest	3005.1	ROM 4002, 4106
Denial of Payments in Lieu of Termination of ICFs/MR	3006	SOM 3006 ROM 4207, 4209, 4210 4218
Nonrenewal or Automatic Cancellation of TLAs for ICFs/MR	3007	SOM 3620 ROM 4200, 4206
Services After Termination	3008	ROM 4117
Services After Termination of a Medicare Provider Agreement	3008.1	ROM 4222
Services for which FFP may be Continued After Termination of a Medicaid Provider Agreement or Nonrenewal or Cancellation of an ICFs/MR Provider Agreement	3008.2	ROM 4222
Relocating Patients Displaced by Termination of Close	3008.3	ROM 4220
Termination Procedures - Immediate and Serious Threat to Patient Health and Safety (Medicare) (See §§7303-7309 for SNFs/NFs)	3010	SOM 3010 ROM 4102
Termination Procedures - Noncompliance with One or More CoPs or Conditions for Coverage and Cited Deficiencies Limit Capacity of Provider/Supplier to Furnish Adequate Level or quality of Care (Medicare)--(See §§7310-7313 for SNFs/NFs)	3012	SOM 3012 ROM 4103
Termination of Psychiatric Hospitals Based on HCFA Mental Health Surveyors' Surveys	3012.1	ROM 4103.2
Termination of OPOs	3012.2	ROM 4103.3
RO Termination Action based on Onsite Federal Survey of Medicare Provider or Supplier (Excluding SNFs)	3014	ROM 4104
Intervening Actions that do not Postpone or Delay Termination Timetable-- (Includes Credible Allegations)	3016	SOM 3014
Provider Undergoes CHOW During Termination Proceedings	3016.1	SOM 3035
Termination - SA Documentation Requirements	3018	SOM 3016
Additional SA Communications with Providers/Suppliers	3020	SOM 3030
Notice of Termination (Medicare)	3022	SOM 3025
RO Termination Processing Sequence - Noncompliance with CoPs or Conditions for Coverage (Excluding SNFs)	3024	ROM 4105
Significance of Documentary Evidence in Determining Noncompliance	3026	ROM 4107
RO Documentation Guide List - Termination for Noncompliance with §1866(b)(2)(A) and ©	3028	ROM 4108
Provider Agreement Terminations - Noncompliance with §1866(b)(2)(A) and (C)	3030	ROM 4109

CHAPTER 3

ADDITIONAL PROGRAM ACTIVITIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Adverse Actions (con't)</u>		
Termination for Violations of §1866(a)(1)(E)(F)(G) and (H)	3032	ROM 4111
Public Notice - Involuntary Termination	3034	ROM 2314, 4112
Billing for Public Notice of Termination or Withdrawal	3036	ROM 4116
Rescinding or Postponing Effective Date of Termination	3038	ROM 4118
Terminating Medicaid ICFs/MR Eligibility Based on "Look Behind" Determination	3040	ROM 4230
Disallowance of FFP to State Because State Fails to Follow Correct Certification Procedures for Medicaid Providers	3042	ROM 4235
Terminating Approval for Suppliers	3044	ROM 4300, 4351
Voluntary Termination	3046	SOM 3008, 3009 ROM 4400
Notice to Intermediary or Carrier - Voluntary Termination	3047	ROM 4403
Notice to Provider or Supplier - Voluntary Termination	3048	ROM 4406
Completing Certification and Transmittal (Form HCFA-1539)	3049	ROM 4408
<u>Reconsideration, Hearings and Appeals</u>		
Initial Determinations Versus Administrative Actions --		
Right to Review	3050	ROM 4600
Nature of Reconsideration Determination--SA Procedures	3052	SOM 3040
Reconsideration - RO Procedures	3054	ROM 4604, 4606, 4608, 4610, 4650
RO Review Process of ALJ Adversarial Hearing Decisions	3056	ROM 4660
Hearing on §1910(b) Cancellation of Medicaid Eligibility	3058	ROM 4661
Appeals of Adverse Actions for Medicaid Non-State Operated NFs and ICFs/MR (Not Applicable to Federal Terminations of Medicaid Facilities)	3060	SOM 3045 ROM 4662, 4670
<u>Prospective Payment System (PPS)</u>		
Hospitals and Hospital Units Excluded from PPS--		
Annual Self-Attestation	3100	SOM 3100
General Information on PPS Exclusion	3102	SOM 3102 ROM 1174
Criteria for PPS-Excluded Hospitals	3104	SOM 3104
Criteria for Psychiatric and Rehabilitation Units	3106	SOM 3106
SA First-Time Verification Procedures for Hospitals and Units	3108	SOM 3108
SA Reverification of PPS-Excluded Hospitals and Units	3110	SOM 3110
RO Procedures for Exclusion from PPS for Hospitals and Units	3112	ROM 1174
RO Procedures for First-Time Exclusion of Hospitals and Units	3112.1	ROM 1174.1, 1174.5
RO Verifying Continued Compliance with Exclusion Criteria by Currently Excluded Hospitals or Units	3112.2	ROM 1174.3, 1174.4
Role of FIs in Reverification of PPS Excluded Hospitals and Units	3112.3	ROM 1174.2

CHAPTER 3

ADDITIONAL PROGRAM ACTIVITIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Changes in Provider Status or Services</u>		
Action Based on Changes in Provider Organization, Services, or Action of other Approving Agencies	3200	SOM 3200
Change in Certification Status, Size, or Location of Distinct Part SNF or SN	3202	SOM 3202
Change in Provider Location and/or Bed Complement--Other than Distinct Part	3204	SOM 3204
Existing ESRD Facility Relocation, Expansion, or Addition of New Service	3206	SOM 3206
CHOW of Providers and Suppliers	3210	ROM 2300
Determining Ownership	3210.1	SOM 3210
RO Role in CHOW Determination	3210.2	ROM 2301
CHOWS Involving Multi-Regional Chain Organizations	3210.3	From 1987 Memo
Other Changes Related to CHOW - RO Procedures	3210.4	ROM 2304, 2312
New Owner Refuses to Accept Assignment of the Provider Agreement	3210.5	ROM 2314
<u>Expansion of Services</u>		
Certification of Additional Services	3220	SOM 3220
Specific Requirements for Expansion of Services	3222	SOM 3222
Additions of Sites to an Existing Provider	3224	From 1996 Memo
<u>Validation Surveys of Accredited Providers and Suppliers</u>		
Validation Surveys - Citations and General Description	3240	SOM 3240
Objective of Validation Surveys	3242	SOM 3242
Sample Validation Surveys of Accredited Hospitals	3243	ROM 3032
SA Preparation for Validation Survey of a Hospital	3244	SOM 3244
Authorization for Release of Hospital Accreditation Survey	3246	SOM 3246
Hospital or Supplier Refusal to Permit Validation Survey	3248	SOM 3246
SA Conducting Sample Validation Surveys for Hospitals	3250	SOM 3246
SA Forwarding Sample Validation Records to RO	3252	SOM 3048
RO Actions Following Sample Validation Survey	3254	SOM 3250, 3252
		ROM 3032
RO Referral of Documentation to Accreditation Organizations	3256	ROM 3032
Reinstatement to Accreditation Organization Jurisdiction	3257	ROM 3032
<u>Investigation of Complaints</u>		
<u>Against Accredited Providers or Suppliers</u>		
Basis for Accredited Provider or Supplier Substantial Allegation/Complaint Investigation	3260	SOM 3260
RO Direction of Accredited Hospital Complaint Investigation	3262	SOM 3262
SA Conducting an Accredited Hospital Complaint Validation Survey	3264	SOM 3264
		ROM 1133
Forward Investigation Report to RO	3266	SOM 3266

CHAPTER 3

ADDITIONAL PROGRAM ACTIVITIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Investigation of Complaints</u> <u>Against Accredited Providers or Suppliers (con't)</u>		
Accredited Hospital Found in Compliance Following Complaint Validation	3268	SOM 3268
Accredited Hospital Found Not in Compliance Following Complaint Validation Survey	3270	SOM 3270
Reinstatement to Accreditation Organization Jurisdiction	3272	SOM 3272
Termination of Accredited Hospitals	3274	SOM 3274
Investigating Complaints Involving ESRD Services Provided by Accredited Hospitals	3276	SOM 3276

<u>Investigation of Complaints</u> <u>Against Other Than Accredited Providers or Suppliers</u>		
SA Responsibilities for General, Certification-Related Complaints	3280	SOM 3280
SA Processing General, Certification-Related Complaints	3281	SOM 3281 ROM 1130
SA Complaint Management	3282	SOM 3282
Medicare/Medicaid CLIA Complaint Form, Form HCFA-562	3283	From 1996 Memo
RO Processing General, Certification-Related Complaints	3284	ROM 1131, 1131.1 1131.2, 1131.3
RO Complaint Management	3285	ROM 1132
Complaints Involving HIV-Infected Individuals	3298	SOM 3298

<u>Handling Public Inquiries</u>		
Confidentiality and Disclosure of Records - Citations and Applicability	3300	SOM 3300
Federal Freedom of Information Act (FOIA)	3302	SOM 3302
Multi-Program Information in SA Files	3304	SOM 3304
Information Which may be Disclosed to the Public	3308	SOM 3308
Requests for Information about Non-Participating Institutions	3310	SOM 3310
Charges for Information	3312	SOM 3312
Time Periods for Disclosure	3314	SOM 3314
Information Furnished to Original Source	3316	SOM 3316
Disclosure of Information to and from Operating Components	3318	SOM 3318
Necessary Preclearance with RO before Releasing Confidential Information	3320	SOM 3320

<u>Additional State Agency Responsibilities</u>		
HHA Toll-Free Hotline and Investigative Unit	3330	SOM 3330

<u>Response to Subpoenas Served on and Suits Against the State Agency</u>		
Subpoena for Program Records	3350	SOM 3350
Forthwith Subpoena	3352	SOM 3352
Subpoena for SA Licensure Records	3354	SOM 3354
Suit Against SA	3356	SOM 3356

CHAPTER 3
ADDITIONAL PROGRAM ACTIVITIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Conducting Investigation for Alleged Violations of 42 CFR 489.24 and/or Related Requirements in 489.20(1)(m), (q), and (r); Responsibilities of Medicare Participating Hospitals in Emergency Cases</u>		
Background	3400	SOM 3400 ROM 1300
Basis for Investigation	3402	SOM 3402 ROM 1302
RO Direction for Investigation	3404	SOM 3404 ROM 1301.1, 1301.2
SA Conducting Investigations	3406	SOM 3406
SA Forwarding Report of Investigation to RO	3408	SOM 3408 ROM 1301.3
RO Review of Investigation	3410	SOM 3410 ROM 1301.3
Termination Procedures for Violation of the Responsibilities of Medicare Participating Hospitals in Emergency Cases	3412	SOM 3412 ROM 1302, 1302.1 1302.2
RO Procedures for Coordinating Statutorily Mandated PRO Review of Confirmed Dumping Cases	3413	ROM 1303, 1303.1, 1303.2

CHAPTER 4

PROGRAM ADMINISTRATION AND FISCAL MANAGEMENT

	<u>New SOM</u>	<u>Previous Location</u>
<u>Administration</u>		
Federal/State Relationship for Provider Certification	4000	SOM 4000
Federal Administrative Responsibilities	4001	SOM 4001
Nature and Source of Payments to States	4002	SOM 4002
SA Administrative Responsibilities	4003	SOM 4003
SA Responsibility for Records and Reports	4003.1	SOM 4003.1
SA Responsibility for Staff Training and Development	4003.2	SOM 4003.2
SA Reporting of Possible Certification Fraud	4004	SOM 4004
Reliance Upon States to Initiate Budget - Coordinate Activity		
Plans for Carrying Out Program Action	4005	SOM 4005
Interagency Subagreements	4006	SOM 4006
Negotiating Subagreements with Non-Public Entities	4006.1	SOM 4006.1
Assistance of HCFA in SA Program Administration	4007	SOM 4007
Conflicts of Interest of SA Employees	4008	SOM 4008
Federal Surveyor Qualification Standard	4009	SOM 4009
Federal Minimum Qualification Standards for LTC Facility		
Surveyors	4009.1	SOM 4009.1
Test Administration	4009.2	SOM 4009.2
Test-Related Activities	4009.3	SOM 4009.3
SA Annual Activity Plan	4010	SOM 4010
SA Planning Annual Workload	4011	SOM 4011
Regulatory Role of Surveyor and Consultation	4018	SOM 4018
Ordering HCFA Forms and Literature	4055	SOM 4055

Office of Management and Budget (OMB) Approval of Information Collected from the Public

Approval of Information Collected from Public by SA- General	4060	SOM 4060
Information Which Does Not Require OMB Approval	4062	4063
Verification or Correction Information	4062.1	SOM 4063.1
Certifications	4062.2	SOM 4063.2

Survey and Certification Related Activities

Basis for Determining Health Insurance Relatedness of Activity Costs	4100	SOM 4100
Survey Related Activities	4101	SOM 4101
Activities with Accredited Entities Deemed to Meet Participation Requirements	4102	SOM 4102
Higher than National Standards	4111	SOM 4111
Non-Facility Related Activities	4115	SOM 4115
SA Promotional and Public Information Activities	4116	SOM 4116
Medical Societies	4116.1	SOM 4116.1
Relations with Other Programs	4117	SOM 4117
Deeming and Waiver of Nurse Aide Training and Competency Evaluation Requirements	4131	SOM 4131

CHAPTER 4

PROGRAM ADMINISTRATION AND FISCAL MANAGEMENT

	<u>New SOM</u>	<u>Previous Location</u>
<u>Survey and Certification Related Activities (con't)</u>		
NATCEPs and NACEPs	4132	SOM 4132
Approval of NATCEP and NACEP	4132.1	SOM 4132.1
Requirements for NATCEPs	4132.2	SOM 4132.2
Requirements for NACEPs	4132.3	SOM 4132.3
Guidance to States for Medicaid Nursing Facility Remedies	4140	SOM 4140
NAR	4141	SOM 4141
Specification of RAI for Use in LTC Facilities	4145	SOM 4145
Statutory Requirements	4145.1	SOM 4145.1
Definitions	4145.2	SOM 4145.2
RAI by HCFA	4145.3	SOM 4145.3
Specification of State RAI	4145.4	SOM 4145.4
Variations in Formatting State-Specific RAI	4145.5	SOM 4145.5
Approval Process	4145.6	SOM 4145.6
<u>SA Analysis Activity</u>		
OSCAR System	4149	SOM 4149 ROM 3400, 3401, 3403 3404, 3405
RO Oversight of SA Surveyor Training	4150	ROM 3020
RO Program Analysis Activity	4151	ROM 3025
Federal Monitoring Surveys - Purpose	4157	SOM 4157 ROM 3028
Selecting and Scheduling Facilities for Monitoring Surveys	4158	SOM 4158 ROM 3030
Conduct of Monitoring Surveys	4159	SOM 4159 ROM 3030.1, 3030.2
<u>Provider Certification Files and Program Reporting</u>		
SA Provider Certification Files	4200	SOM 4200
Materials Forwarded to RO	4205	SOM 4205
SA Files Used for Case Control and Reporting	4210	SOM 4210
Establishment of SA Case Folders and Controls	4225	SOM 4225
<u>Necessary SA Expenses</u>		
General	4500	SOM 4500
SA Cost of Studies of Distribution of Staff Time	4502	SOM 4502
Pro Rata Costs - General Rule	4504	SOM 4504
SA Goods, Facilities, Services from Other Staff Agencies or from Local Agencies	4508	SOM 4508
SA Personnel Services	4510	SOM 4510
SA Determination of Necessary Staff	4514	SOM 4514
Use of Overtime in SAs	4518	SOM 4518
Payment for Overtime	4581.1	SOM 4581.1
SA Non-Personnel Services	4530	SOM 4530
Travel by SA Personnel	4531	SOM 4531
SA Communications and Supplies	4532	SOM 4532
SA Office Space	4534	SOM 4534
Standard of Comparable Rental	4534.1	SOM 4534.1

CHAPTER 4

PROGRAM ADMINISTRATION AND FISCAL MANAGEMENT

	<u>New SOM</u>	<u>Previous Location</u>
<u>Necessary SA Expenses (con't)</u>		
SA Rent in Privately-Owned Space	4535	SOM 4535
Space in Publicly Owned Buildings	4536	SOM 4536
SA Repairs and Alterations	4537	SOM 4537
SA Identifiable (Direct) Costs	4538	SOM 4538
SA Office Maintenance	4539	SOM 4539
SA Equipment	4540	SOM 4540
SA Retirement and Social Security	4541	SOM 4541
Other SA Expenses	4542	SOM 4542
SA Consultant Expenses	4542.1	SOM 4542.1
Expenses for Training of SA Personnel	4542.2	SOM 4542.2
Miscellaneous SA Expenses	4542.3	SOM 4542.3
NAR/NATCEP	4543	SOM 4543
LTC Facility Workload (SNF/NF)	4544	SOM 4544
<u>The Budgetary Process</u>		
SA Budget Request	4600	SOM 4600
Developing SA Budget Justification	4605	ROM 3050, 3052 SOM 4605
Line Item Justification for SA Personnel Services	4610	ROM 3056 SOM 4610
Line Item Justification for SA Direct and Indirect Costs	4611	ROM 3056 SOM 4611
Preparation of State Agency Budget List of Positions, Form HCFA-1465A	4612	ROM 3056 SOM 4612
Preparation of State Agency Schedule for Equipment Purchase, Form HCFA-1466	4614	SOM 4614
Preparation of State Survey Agency Budget Request Non-LTC, Form HCFA-435	4625	SOM 4625
Preparation of State Survey Agency Budget Request - LTC, Form HCFA-435	4626	SOM 4626
Preparation of the State Survey Agency Certification Workload Report, Form HCFA-434	4627	SOM 4627
Developing Budget Approval - RO Procedures	4629	ROM 3057
Notification of Approval by RO	4630	SOM 4630
RO Distribution of Approved Funds	4636	SOM 4636
Disbursement of Approved Funds	4636.1	ROM 3064 SOM 4636.1
Need for Additional Title XVIII and title XIX Funds	4640	ROM 3066 SOM 4640
Title XVIII Supplemental Budgets	4640.1	SOM 4640.1
SA Accounts	4700	SOM 4700
Support for SA Expenditures	4701	SOM 4701
SA Financial Reporting	4710	SOM 4710
Cash Basis	4711	SOM 4711
SA Limit on Expenditures	4712	SOM 4712
Periodic Analysis of Accounts	4714	SOM 4714
Cash Balances and Expenditure Authority	4716	SOM 4716
Unliquidated Obligations	4718	SOM 4718

CHAPTER 4

PROGRAM ADMINISTRATION AND FISCAL MANAGEMENT

	<u>New SOM</u>	<u>Previous Location</u>
<u>The Budgetary Process</u>		
Nothing to Report on a Given Line	4719	SOM 4719
SA Quarterly Expenditure Report, Form HCFA-435, and SA Certification Workload Report, Form HCFA-434- Submittal and Due Date	4740	SOM 4740
Preparation of SA Non-LTC Quarterly Expenditure Report, Form HCFA-435	4760	SOM 4760
Preparation of SA Quarterly Expenditure Report, LTC Facility Workload, Form HCFA-435	4766	SOM 4766
Initial Survey Activity Reports	4767	From 1997 Memo
<u>Section 1864/Section 1903(a) Fiscal Audits</u>		
Scope of Audit	4780	SOM 4780
Objectives of the Audit	4781	ROM 3100, 3105 SOM 4783
Records to be Reviewed	4782	ROM 3100, 3140 SOM 4784
RO Role During Audit Process	4784	ROM 3100
Draft and Pre-Release Audit Report to RO	4785	ROM 3110 SOM 4785
Final Audit Report and Final Determination--RO Procedures	4786	ROM 3105, 3115 SOM 4785
RO Review of SA Response	4787	ROM 3120 SOM 4787
SA Disallowance Appeals	4788	ROM 3130, 3135, 3145 SOM 4788
Medicare Disallowance Appeals	4788.1	SOM 4888.1
Medicaid Disallowance Appeals	4788.2	SOM 4788.2
RO Documentation of Agreements on Actions to Correct Audit Deficiencies	4789	ROM 3142
General Rules on Cost Allowability--RO Procedures	4790	ROM 3150, 3152
Determinations of Overpayment--RO Procedures	4790.1	ROM 3153
Determination and Computation of Dollar Amounts--Use of Estimates--RO Procedures	4790.2	ROM 3154
Time Period for Computing Disallowances--RO Procedures	4790.3	ROM 3155
Inability to Determine Dollar Amounts--RO Procedures	4790.4	ROM 3156
RO Documentation of Agreements to Effectuate Repayments	4791	ROM 3157
Repayment Not Made Within 30 Days of Agreement Letter-- RO Procedures	4791.1	ROM 3158
Audit Disallowance Actions--RO Notification	4792	ROM 3160
Non-Audit Medicare and/or Medicaid Disallowance-- RO Procedures	4792.1	ROM 3165
Establishing Records Supporting Non-Audit Medicare and/or Medicaid Disallowance Actions--RO Procedures	4793	ROM 3167
Collections--RO Procedures	4794	ROM 3168
Accounts Payable--RO Procedures	4794.1	ROM 3169
Audit Clearance Document--RO Procedures	4795	ROM 3170
RO Preparation and Processing Audit Clearance Document	4795.1	ROM 3171
Clearing Audit Clearance Document--RO Procedures	4795.2	ROM 3172

CHAPTER 4
PROGRAM ADMINISTRATION AND FISCAL MANAGEMENT

	<u>New SOM</u>	<u>Previous Location</u>
<u>Section 1864/Section 1903(a) Fiscal Audits (con't)</u>		
Closure Versus Clearance--RO Procedures	4795.3	ROM 3175
Audit Findings and Recommendations Remaining Open at End of 4 Months--RO Procedures	4796	ROM 3125, 3177
<u>Disposition of Medicare and Medicaid Records</u>		
Retention and Destruction of Medicare and Medicaid Records	4800	SOM 4800
Provider Certification Records	4801	SOM 4801
Budget and Financial Files	4802	SOM 4802
Title XVIII State Agreements	4803	SOM 4803
Title XIX State Plans	4804	SOM 4804
State Review Files	4805	SOM 4805
Destruction of Records	4806	SOM 4806

CHAPTER 6
SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Program Background and Actions Related to Certification</u>		
Background	6000	SOM 6000 ROM 5300
CLIA Applicability	6002	SOM 6070 ROM 5339
Consultative CLIA Activities	6004	SOM 6005
Application and Certificate Process	6006	SOM 6075 ROM 5318, 5320
Laboratory Location-Criteria for Meeting the Exceptions	6008	ROM 5328
Assignment of CLIA Identification Numbers	6010	SOM 6085 ROM 5326
CLIA User Fee and Certificate Issuance System	6012	ROM 5330
CLIA Information in OSCAR System	6014	SOM 6285 ROM 5360
Revised Certificates	6016	ROM 5332
Bill Adjustments	6018	ROM 5336
Regional Office Role	6020	ROM 5303
Laboratories Under Direct RO Jurisdiction	6022	SOM 6012, 6015 ROM 5314, 5316
RO Review of SA Certification Activities	6024	ROM 5312
State Agency Role	6026	ROM 5308
CLIA Laboratories--Compliance with Civil Rights Requirements	6028	SOM 6120 ROM 5346
Referrals to the Office of the Inspector General	6030	SOM 6010
Notification of Change in Laboratory Operations	6032	SOM 6130
Mobile Laboratories	6034	SOM 6140
Facilities with Multiple Sites	6036	SOM 6145
Transfusion Services Covered by HCFA/FDA Memorandum of Understanding	6038	SOM 6150 ROM 5340
Transfusion-Related Facilities	6040	SOM 6150 ROM 5342
Proficiency Testing (PT)	6042	SOM 6030
Enrollment Information	6044	SOM 6035
PT Excluding Cytology for Non-Accredited and Non-CLIA Exempt Laboratories	6046	ROM 5354
Noncompliance with PT Enrollment and Testing Requirements	6048	ROM 5356
Monitoring PT/Scores	6050	SOM 6043, 6050
PT Reports Available to the SA/RO	6052	SOM 6042
Unsuccessful Performance in Proficiency Testing	6054	SOM 6045
Excused Correction Scores for Proficiency Testing	6056	SOM 6047
Unsuccessful Participation in PT	6058	ROM 5352, 5358
Reinstatement After Failure to Successfully Participate in Proficiency Testing	6060	SOM 6050 ROM 5352
Onsite Observation of Proficiency Testing	6062	SOM 6062

CHAPTER 6

SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>The Survey Process and Related Activities</u>		
The Survey Process--Emphasis, Components, and Applicability	6100	SOM 6200
Scheduling Surveys	6102	SOM 6105
Conducting Unscheduled Surveys	6104	SOM 6215
Survey Policy	6106	SOM 6210
Survey Responsibility	6108	SOM 6110
Survey Team Size and Composition	6110	SOM 6205
Laboratory Self Assessment	6112	From 1996 Memo
AQAS Verifications and Summaries	6114	From 1996 Memo
Laboratory Refuses to Allow Survey	6116	SOM 6230
During the Survey	6118	SOM 6230
Completing the Survey Report Form	6120	SOM 6235
Credentialing of Foreign Trained Laboratory Personnel	6122	ROM 5344
Preparation for Exit Conference	6124	SOM 6240
Exit Conference	6126	SOM 6245, 6255
Certification Actions Performed After Survey	6128	SOM 6250
Statement of Deficiencies and PoCs, HCFA-2567	6130	SOM 6260
Follow-up on PoCs	6132	SOM 6270
Evaluation of Compliance	6134	SOM 6275
Complaints Involving Laboratories	6136	SOM 6280
		ROM 5366, 5368, 5385
Retention of CLIA Certification Records	6138	SOM 6290
<u>Sample and Complaint Validation Surveys of Accredited Laboratories</u>		
Background--HCFA Approval and Withdrawal of Approval of Accredited Organizations	6150	SOM 6600
Accreditation Validation Surveys--Citations and General Description	6152	SOM 6605
		ROM 5495
Objective of Validation Surveys of Accredited Laboratories	6154	SOM 6610
Selection of Sample for Validation Surveys of Accredited Laboratories	6156	From 1996 Memo
Preparing for Validation Surveys of Accredited Laboratories	6158	SOM 6615
		ROM 5495
Authorization for Release of Accreditation Survey	6160	SOM 6620
Accredited Laboratory's Refusal to Permit a Validation Survey	6162	SOM 6625
		ROM 5497
Conducting Validation Surveys of Accredited Laboratories	6164	SOM 6630
Results of Validation Surveys of Accredited Laboratories	6166	SOM 6635
		ROM 5495
Surveys Accepted for Validation Purposes	6168	From 1996 Memo
Forwarding Completed Validation Survey Information to CO	6170	From 1996 Memo
Notification Requirements of Approved Accreditation Organizations	6172	ROM 5499
Basis for Accredited Laboratory Complaint Investigation	6174	SOM 6650
		ROM 5500

CHAPTER 6
SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Sample and Complaint Validation Surveys of Accredited Laboratories (con't)</u>		
RO Direction of Accredited Laboratory Complaint Investigation	6176	SOM 6655 ROM 5500
Conducting Complaint Validation Survey of an Accredited Laboratory	6178	SOM 6660 ROM 5500
Forwarding Investigation Report to RO	6180	SOM 6655 ROM 5500
Accredited Laboratory Found in Compliance Following a Complaint Survey	6182	SOM 6670 ROM 5500
Accredited Laboratory Found Not in Compliance Following a Complaint Survey	6184	SOM 6675 ROM 5500

Sample and Complaint Validation Surveys of CLIA-Exempt Laboratories

Validation Surveys of CLIA-Exempt Laboratories-Citations and General Description	6200	ROM 5370
Validation Surveys of CLIA-Exempt Laboratories--Objectives	6202	ROM 5372
Selection of Sample for Validation Surveys of CLIA-Exempt Laboratories	6204	From 1996 Memo
Preparing for Sample Validation Survey of CLIA-Exempt Laboratories	6206	ROM 5374
Conducting Validation Surveys of CLIA-Exempt Laboratories	6208	ROM 5376
Results of the CLIA-Exempt Validation Survey--RO and SA Responsibilities	6210	ROM 5374
Onsite Observation of State Laboratory Program Operations	6212	ROM 5377
Processing Validation Survey Records	6214	ROM 5378
Analysis of Findings and Report	6216	From 1996 Memo
Notification Requirements of CLIA-Exempt States	6218	ROM 5379
CLIA-Exempt Laboratory Complaints	6220	ROM 5380
Review of CLIA-Exempt Laboratory Complaints	6222	ROM 5382
Conducting Complaint Validation Survey for CLIA-Exempt Laboratories	6224	ROM 5384

Other Activities

State Agency Quality Improvement Program (SAQIP)	6230	ROM 5540
Federal Monitoring Survey (FMS) Selection	6232	ROM 5543
FMS of Laboratories--Definitions and Purpose	6234	ROM 5546
FMS Procedures	6236	ROM 5552
Reports of Findings of FMS	6238	ROM 5555
Other Special Purpose Federal Surveys--Definitions	6240	ROM 5557

CHAPTER 6
SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Adverse Activities</u>		
Purpose of and Basis for Enforcement Action	6250	SOM 6300 ROM 5400
Definitions Terminology--Enforcement	6252	ROM 5352, 5402
Denial of Form HCFA-116 from Prospective Laboratory or Denial of Laboratory's Clinical Laboratory Application Form HCFA-116 to Test in New Specialties or Subspecialties	6254	SOM 6305 ROM 5404
Voluntary Withdrawal from CLIA Program	6256	SOM 6310 ROM 5406
Voluntary Withdrawal of Certification to Test in Specialty or Subspecialty	6258	ROM 5407
Requests to Change Certificate Type	6260	ROM 5408
CLIA Conditions Not Met--Enforcement Options for All Laboratories	6262	SOM 6315 ROM 5410
CLIA Conditions Not Met--Principal and Alternative Sanctions for Laboratories that Participate in Medicare	6264	SOM 6320 ROM 5412
Failure to Furnish Notification of Changes	6266	ROM 5416
Failure to Meet Proficiency Testing Requirements	6268	SOM 6330 ROM 5416
Enforcement Based on Actions of Laboratory's Owner, Operator, or Employees	6270	SOM 6335 ROM 5418
Sanction(s)--Factors Considered	6272	SOM 6355 ROM 5420
Principal Sanctions	6274	SOM 6360 ROM 5422
Alternative Sanction: Directed PoC and Directed Portion Of a PoC	6276	SOM 6365 ROM 5424
Alternative Sanction: State Onsite Monitoring	6278	SOM 6375 ROM 5426
Alternative Sanction: Civil Money Penalty	6280	SOM 6370 ROM 5428
Noncompliance with One or More Conditions--Immediate Jeopardy	6282	SOM 6340 ROM 5430
Noncompliance with One or More Conditions--No Immediate Jeopardy	6284	SOM 6345 ROM 5432
Ensuring Timely Correction of Condition Level Deficiencies	6286	ROM 5434
Procedures for Noncompliant Federal and State Operated Laboratories	6288	ROM 5438
Procedures for Laboratories Found out of Compliance	6290	SOM 6640, 6645
Deficiencies That are Not at Condition Level	6292	SOM 6350 ROM 5440

CHAPTER 6

SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Adverse Actions (con't)</u>		
Intervening Actions that do not Postpone or Delay Enforcement Timetable	6293	SOM 6385 ROM 5442
Duration of Alternative Sanctions	6294	SOM 6380 ROM 5444
Lifting of Alternative Sanctions	6295	SOM 6390 ROM 5446
Sanction Imposed on Any Type of CLIA Certificate--Effect on Medicare Approval	6296	SOM 6395 ROM 5448
Summary of RO Responsibilities During CLIA Adverse Action Process	6297	ROM 5450
Limitation on Medicaid Payment	6298	SOM 6400 ROM 5452
CLIA Violations--OIG Excludes Laboratory from Medicare Participation Effect on CLIA Certificate	6299	SOM 6405 ROM 5454
<u>Appeals of Adverse Actions</u>		
Application of Appeals Procedures	6300	SOM 6450 ROM 5460
Reconsideration	6302	SOM 6455 ROM 5462
RO Notice of Reconsidered Determination	6304	ROM 5464
Administrative Hearing	6306	ROM 5466
Processing of Hearing Requests	6308	SOM 6460 ROM 5468
Scheduling of the Hearing	6310	SOM 6465, 6470
Adversarial Hearings Decisions by ALJ	6312	SOM 6480, 6490 ROM 5470
Readmission to CLIA Program	6314	ROM 5472
Laboratory Registry	6316	SOM 6020 ROM 5473
<u>Budget and Administration</u>		
The CLIA Federal/State Relationship	6400	SOM 6700
Federal Administrative Responsibilities	6402	SOM 6705
Nature and Source of Payment to States	6404	SOM 6710
SA Administrative Responsibilities	6406	SOM 6715
SA Responsibilities for Records and Reports		6408 SOM 6720
SA Responsibilities for Staff Training and Development	6410	SOM 6725
Role of the HCFA RO with SA Program Administration	6412	SOM 6730
CLIA Budget--RO Procedures	6414	ROM 5570
Budget Call--RO Procedures	6416	ROM 5573
Regional Allocations	6418	ROM 5576
The SA Annual Activity Plan	6420	SOM 6735

CHAPTER 6
SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Budget and Administration (con't)</u>		
Planning the Annual Workload--SA Procedures	6422	SOM 6740
Elements in the Annual Activity Plan, Planned Workload Report--SA Procedures	6424	SOM 6745
Format for the Annual Activity Plan--SA Procedures	6426	SOM 6750
Survey Team Composition and Workload Report, Form HCFA-670--SA Procedures	6428	SOM 6755
Basis for Determining CLIA-Related Costs--SA Procedures	6430	SOM 6760
Promotion and Public Informational Activities--SA Procedures	6432	SOM 6765
<u>The Budgetary Process</u>		
The Budget Request	6434	SOM 6900
State Budget Request, CLIA Program, Form HCFA-102	6436	SOM 6902
HCFA-105, Planned Workload Report, CLIA--SA Procedures	6438	SOM 6904
HCFA-1466, SA Schedule for Equipment Purchases--SA Procedures	6440	SOM 6906
HCFA-1465-A, SA Budget List of Positions	6442	SOM 6908
State Budget Request Submittal--CLIA	6444	SOM 6910
Developing Budget Approval--RO Procedures	6446	ROM 5579
RO SA Budget Review, Form HCFA-102	6448	ROM 5582
Employee Salaries and Wages--RO Procedures	6450	ROM 5585
Retirement Contributions and Fringe Benefits--RO Procedures	6452	ROM 5588
Travel--RO Procedures	6454	ROM 5591
Communications and Supplies	6456	ROM 5594
Office Space--RO Procedures	6458	ROM 5597
Equipment--RO Procedures	6460	ROM 5600
Training--RO Procedures	6462	ROM 5603
Consultants--RO Procedures	6464	ROM 5606
Subcontracts--RO Procedures	6466	ROM 5609
Miscellaneous--RO Procedures	6468	ROM 5612
Indirect Costs--RO Procedures	6470	ROM 5615
Hourly Rate Requested--RO Procedures	6472	ROM 5618
Planned Workload Report, Form HCFA-105--RO Procedures	6474	ROM 5621
Schedule for Equipment Purchases, Form HCFA-1466--RO Procedures	6476	ROM 5624
Preparation of List of Positions, Form HCFA-1465--RO Procedures	6478	ROM 5627
Line Item Approval for Personal Services--RO Procedures	6480	ROM 5633
Need for Additional Funds--RO Procedures	6482	ROM 5636
Need for Additional CLIA Funds--SA Procedures	6484	SOM 6922
SA Accounts and Reporting	6486	SOM 6930
<u>Financing Accounts and Reporting</u>		
Support for Expenditures	6488	SOM 6932
Certificate of Authority--SA Procedures	6490	SOM 6934
Cash Basis--SA Procedures	6492	SOM 6936

CHAPTER 6
SPECIAL PROCEDURES FOR LABORATORIES

	<u>New SOM</u>	<u>Previous Location</u>
<u>Financing Accounts and Reporting</u>		
Limit on Expenditures	6494	SOM 6938
Periodic Analysis of Accounts--SA Procedures	6496	SOM 6940
Cash Balances and Expenditure Authority--SA Procedures	6498	SOM 6942
Unliquidated Obligations--SA Procedures	6500	SOM 6944
Nothing to Report on a Given Line--SA Procedures	6502	SOM 6946
SA Forwarding Materials to the RO	6504	SOM 6770
SA Files Used for Case Control and Reporting	6506	SOM 6775
SA Establishment of Case Controls	6508	SOM 6780
Payment by Electronic Transfer of Funds--SA Procedures	6510	SOM 6914
State Expense Reporting	6512	SOM 6790
Employee Salaries and Wages, the Distribution of Staff Time for Program Purposes--SA Procedures	6514	SOM 6795
<u>CLIA Related Expenses</u>		
Determination of Necessary Staff--SA Procedures	6516	SOM 6800
Retirement Contributions and Fringe Benefits--SA Procedures	6518	SOM 6805
Travel--SA Procedures	6520	SOM 6810
Communications and Supplies--SA Procedures	6522	SOM 6815
Office Space--SA Procedures	6524	SOM 6820
Privately Owned Space--SA Procedures	6526	SOM 6825
Space in Publicly Owned Buildings--SA Procedures	6528	SOM 6830
Repairs and Alternations--SA Procedures	6530	SOM 6835
Identifiable (Direct) Costs--SA Procedures	6532	SOM 6840
Office Maintenance--SA Procedures	6534	SOM 6845
Equipment--SA Procedures	6536	SOM 6850
Retirement and Social Security--SA Procedures	6538	SOM 6855
Other Expenses--SA Procedures	6540	SOM 6860
Consultants--SA Procedures	6542	SOM 6865
Training of SA Personnel--SA Procedures	6544	SOM 6870
Miscellaneous--SA Procedures	6546	SOM 6875
Goods, Facilities, Services from Other Staff or Local Agencies	6548	SOM 6880

Sections Deleted From State Operations Manual

DELETED SECTIONS OF THE SOM

Section

2006	Obsolete
2014	Duplicate - See §7016
2028	Obsolete
2100	Obsolete
2164	Obsolete
2108	Obsolete
2110	Duplicate - See §7016
2112	Obsolete
2114	Obsolete
2116	Duplicate - See §7016
2130	Obsolete
2136	Obsolete
2280.1	Obsolete
2280.2	Obsolete
2280.3	Obsolete
2354	Obsolete
2426	Obsolete
2462	Obsolete
2464	Obsolete
2768	Obsolete
2770	Obsolete
2800	Duplicate - See Appendix P
2801	Duplicate - See §7201
2803	Duplicate - See §7203
2900	Duplicate - See Appendix J
2901	Duplicate - See Appendix J
2940	Duplicate - See Appendix C
2941	Duplicate - See Appendix C
3036	Obsolete
3212	Obsolete
3306	Obsolete
4012	Obsolete
4012.1	Obsolete
4012.2	Obsolete
4012.3	Obsolete
4012.4	Obsolete
4012.6	Obsolete
4012.7	Obsolete
4012.8	Obsolete
4012.9	Obsolete
4012.10	Obsolete
4012.11	Obsolete
4015	Obsolete
4016	Obsolete
4017	Obsolete
4020	Obsolete
4030	Obsolete
4040	Obsolete
4041	Obsolete
4042	Obsolete
4061	Obsolete
4061.1	Obsolete
4061.2	Obsolete
4062.1	Obsolete
4062.2	Obsolete
4063.3	Obsolete
Rev. 1	

Section

4063.4	Obsolete
4063.5	Obsolete
4103	Obsolete
4104	Obsolete
4105	Obsolete
4108	Obsolete
4109	Obsolete
4150	Obsolete
4152	Obsolete
4153	Obsolete
4154	Obsolete
4156	Obsolete
4160	Obsolete
4161	Obsolete
4628	Obsolete
Exhibit 1B	Obsolete
Exhibit 11	Obsolete
Exhibit 14G	Obsolete
Exhibit 14N	Obsolete
Exhibit 28A	Obsolete
Exhibit 28B	Obsolete
Exhibit 34	Obsolete
Exhibit 40	Obsolete
Exhibit 43	Obsolete
Exhibit 44	Obsolete
Exhibit 68	Obsolete
Exhibit 78	Obsolete
Exhibit 100	Obsolete
Exhibit 101	Obsolete
Exhibit 102	Obsolete
Exhibit 104B	Obsolete
Exhibit 109	Obsolete
Exhibit 120	Obsolete
6025	Obsolete
6054	Duplicate - See Appendix C
6080	Obsolete
6125	Duplicate - See §2710
6225	Duplicate - See Appendix C
6485	Obsolete
6912	Obsolete
6916	Obsolete
6918	Obsolete
6948	Obsolete
6950	Obsolete

Crosswalk of Regional Office Manual Exhibits

Showing Previous Location

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-1	Deleted	Regional Office Request for Additional Information, HCFA-166	*Dupl. of SOM-15
4-5	156	Provider Tie-In Notice, HCFA-2007	
4-7	Deleted	Request for Validation of Accreditation Survey, HCFA-2802	Dupl. of SOM-33
4-10	Deleted	Accreditation Hospital Allegation(s) Report HCFA-2878	Obsolete
4-11	184	Advertising Order, SF-1143, and Public Voucher for Advertising, SF-1144	
4-13A	Deleted	SAEP Score Distribution	Obsolete
4-13B	Deleted	SAEP Criteria and Standards	Obsolete
4-14	Deleted	Model Letter Transmitting SAEP Review Reports to SA	Obsolete
4-17	Deleted	Monitoring Survey Summary	Obsolete
4-20	164	RO Adjudication of SA Certification Actions--Checklist and Summary Sheet	
4-21	165	Notice to a Provider that Agreement was Accepted	
4-23	166	Notice of Approval of Supplier of Services	
4-24	Deleted	Notification of Acceptance of SNF Agreement (Supplement to Agreement when SNF is in Full Compliance with All Standards	Obsolete
4-25	Deleted	Notification of Acceptance of SNF Agreement (Supplement to Agreement when Deficiencies Are to be Corrected per HCFA-2567)	Obsolete
4-26	188	Notification--Voluntary Termination of Provider Agreement Approved	
4-27	189	Notification--Approval of Voluntary Termination of a Supplier	
4-28	Deleted	Notification of Approval of Voluntary Termination (One or More Specialties) by Independent Laboratory)	Obsolete
4-30	190	Notification to Provider That Has Ceased or Is Ceasing Operation	
4-31	191	Notification to Supplier That Has Ceased or is Ceasing Operation	

* Dupl. = Duplication
Rev. 1

ROM-i

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-35	215	Notification to Provider/Supplier Warning of Possible Termination--Failure to Disclose Financial Interest and Ownership Information	
4-36	187	Notification to Previously-Approved Supplier Of a Pending Termination	
4-38	181	Notice to Hospital Provider of Involuntary Termination	
4-41	182	Notice of Termination to Supplier	
4-42	Deleted	Notice of Nonrenewal of Agreement	Obsolete
4-43	183	Model Public Notice of Medicare Termination Of Provider Agreement	
4-44	192	Acknowledgment of Request for Hearing	
4-45	196	Model Letter Announcing to Accrediting Hospital After a Sample Validation Survey that the Hospital Does Not Comply with All Conditions of Participation	
4-47	199	Model Letter Announcing to Accredited Hospital After a Substantial Allegation Survey that the Hospital does not Comply with All Conditions Of Participation	
4-49	194	Model Letter Announcing Compliance with all Surveyed Medicare Conditions of Participation After a Sample Validation or Substantial Allegation Survey	
4-50	197	Notice to Accredited Hospital Announcing Approval Of Plan of Correction and Completion Schedule	
4-51	198	Model Letter Announcing Compliance with All Conditions Of Participation after the Effectuation of an Acceptable Plan of Correction	
4-52	195	Model Telegram Notice Announcing to an Accredited Hospital that the Hospital Does Not Comply with all The Conditions of Participation and that there is Immediate and Serious Threat to Patient Health and Safety	
4-53	180	Notice to Accredited Psychiatric Hospital of Involuntary Termination	

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-67	154	Notice of Initial Approval of ESRD Facility	
4-69	155	ESRD Denial Notice	
4-71	158	Notice - Recertification of ESRD Facility	
4-72	157	Notice - Expansion and/or Additional Service (Approval, Partial Approval, or Denial of ESRD Facility)	
4-73	153	Notice of Technical Denial - Certificate of Need	
4-82	161	Notice of Approval of CAPD Services	
4-93	159	List of VA Hospitals Having Sharing Agreements With Participating ESRD Hospitals	
4-94	222	Audit Clearance Document	
4-95	Deleted	Informing New Owner that Payments are Suspended	Obsolete
4-96	218	Prerelease Notification Document	
4-97	219	Model Audit Disallowance Document	
4-98	221	Example of a Regular Disallowance Letter-- Title XVIII	
4-99	Deleted	Example of a Deferral Letter	Dupl. of SOM-59
4-100	Deleted	Example of a Disallowance Letter for Amounts Previously Deferred	Dupl. of SOM-60
4-101	220	Model Audit Disallowance Letter-- Title XIX	
4-151	186	Sample Memorandum Disallowing Claims for Federal Monitoring Payments (Used in Look-Behind Disapprovals)	
4-152	Deleted	Notice to Medicaid SNF of Cancellation of Eligibility to Participate	Obsolete
4-153	185	Model Telegram--Notice of Termination to a Medicaid ICF/MR Following "Look-Behind" Survey; Immediate and Serious Threat to Patient Health and Safety	

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-154	Deleted	Model Letter--Approval of State's Superior Utilization Review System Waiver	Obsolete
4-155	Deleted	Model Letter--Renewal of State's Superior Review System Waiver	Obsolete
4-156	Deleted	Model Letter--Denial of State's Superior Utilization Review System Waiver	Obsolete
4-157	Deleted	Model Letter--Denial of Payments for New SNF Admissions	Obsolete
4-158	Deleted	HCFA-562, Medicare/Medicaid Complaint Form	Dupl. of SOM-75
4-159	Deleted	Model Letter--Notice to State Medicaid Agency of §1919 Options When They Apply	Obsolete
4-160	Deleted	Model Letter--Notice of Termination When §1919 Does Not Apply	Obsolete
4-161	Deleted	Model Letter--Notice of Approval of a State Medicaid Agencies Reduction Plan	Obsolete
4-162	Deleted	Model Letter--Notice of Disapproval of a State Medicaid Agencies Reduction Plan	Obsolete
4-163	Deleted	Model Letter--Notice of Approval of a State Medicaid Agencies Correction Plan	Obsolete
4-164	Delete	Model Letter--Notice of Disapproval of a State Medicaid Agencies Correction Plan	Obsolete
4-165	167	HCFA-576, HCFA-576A, Organ Procurement Organization Application and Agreement	
4-168	169	United Network for Organ Sharing	
4-169	172	Model Letter--Organ Procurement Organization Approval	
4-170	170	Model Letter A--Organ Procurement Organization Denial--Failure to Meet Requirements	
4-171	171	Model Letter B--Organ Procurement Organization Denial--Competing Applications	
4-172	100	Approval Letter for Extended Care Services (Swing-Bed) in Hospitals (50-99 Beds)	
4-173	101	Notice to Skilled Nursing Facilities that a Hospital Has Been Approved to Provide Extended Care Services (Swing-bed Services)	

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-174	160	Notice to ESRD Facility--Alternative Sanction For Failure to Participate with Network Goals And Objectives	
4-175	213	State Test Administration Plan	
4-176	214	Model Letter Announcing to State Survey Agency the Requirements for Administering the Long Term Care Surveyor Minimum Qualifications Test (SMQT)	
4-177	Deleted	Model Letter Informing PPS-Excluded Hospitals/Units that Self-Attestation Requirements	Obsolete
4-178	193	Model Letter Informing PPS-Excluded Hospitals And units that Reverification has been Approved	
4-179	149	Model Letter: EACH Approval Notification	
4-180	150	Model Letter: RPCH Approval Letter	
4-181	151	Model Letter: EACH Denial Letter	
4-182	152	Model Letter: RPCH Denial Letter	
4-183	Deleted	Request for Survey of 42 CFR 489.20 and 42 CFR 489.24, Essentials of Provider Agreements: Responsibilities of Medicare Participating Hospitals in Emergency Cases, HCFA-1541A	Dupl. of SOM-136
4-184	200	Model Letter Acknowledging Complaint Alleging Noncompliance with 41 CFR 489.24 And/or the Related Requirements of 41 CFR 489.20: Investigation Not Warranted	
4-185	201	Model Letter Acknowledging Complaint Alleging Noncompliance with 42 CFR 489.24 and/or The Related Requirements of 42 CFR 489.20: Investigation Not Warranted	
4-186	Deleted	Responsibilities of Medicare Participating Hospitals in Emergency Cases Investigation Report	Dupl. of SOM-137
4-187	202	Model Letter Requesting Physician Review of a Possible Violation of 42 CFR 489.24	
4-188	Deleted	Physician Review Outline for Emergency Care Obligations of Medicare Participating Hospitals	Dupl.. of SOM-138

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-189	203	Model Letter Following Investigation into Alleged Violation of 42 CFR 489.24 and/or The Related Requirements of 42 CFR 489.20: Facility in Compliance
4-190	204	Model Letter for a Violation of 42 CFR 489.24: Preliminary Determination Letter (Immediate and Serious Threat
4-191	205	Model Letter for a Violation of 42 CFR 489.24 and/or the Related Requirements of 42 CFR 489.20: Preliminary Determination Letter (90-day Termination Track)
4-192	206	Model Letter to Complainant Following Investigation of Alleged Violation of 42 CFR 489.24 and/or the Related Requirements of 42 CFR 489.20: Complaint Not Substantiated
4-193	207	Model Letter to Complainant Following Investigation of Alleged Violation of 42 CFR 489.24 and/or the Related Requirements of 42 CFR 489.20: Complaint Substantiated
4-194	208	Model Letter for Referring a Violation of 42 CFR 489.24 to the Office of Inspector General
4-195	209	Model Letter for Referring a Violation of 42 CFR 489.24 to the Office of Civil Rights
4-196	210	Model Letter for a Past Violation of 42 CFR 489.24 and/or the Related Requirements of 42 CFR 489.20: No Termination
4-197	211	Model Letter for a Violation of 42 CFR 489.24 And/or the Related Requirements of 42 CFR 489.20: Notice of Termination
4-198	212	Model Letter Requesting PRO Review of a Confirmed Violation of 42 CFR 489.24 for Purposes of Assessing Civil Monetary Penalties Or Excluding Physicians
4-199	233	Fraud and Abuse--Office of Inspector General, Office of Investigations Field Offices
4-200	225	Model Letter: Announcing Compliance with Applicable CLIA Conditions After a Sample Validation or Substantial Allegation of Noncompliance Survey

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-201	237	Model Letter: Announcing to an Accredited Laboratory After a Sample Validation Survey Of a Substantial Allegation of Noncompliance Survey that it Does Not comply with all CLIA Conditions and that there Exists Immediate Jeopardy to the Health and Safety of Individuals Or that of the General Public
4-202	238	Model Letter: Announcing to an Accredited Laboratory after a Sample Validation Survey That the Laboratory Does Not Comply with all The CLIA Conditions - No Immediate Jeopardy
4-203	223	Notice to Accredited Laboratory Announcing Approval of Plan of Correction and Completion Schedule for correcting Deficiencies
4-204	224	Model Letter: Announcing to Accredited Laboratory that it is in Compliance with all Conditions after the Correction of Deficiencies
4-205	241	Model Letter: Announcing to Accredited Laboratory AFTER a Substantial Allegation Of Noncompliance Survey that the Laboratory Does Not Comply with all CLIA Conditions (Complaint)
4-206	226	Accredited Laboratory Allegation(s) Report, HCFA-2878A
4-207	227	Model Letter: Announcing to the CLIA-Exempt Laboratory After a Sample Validation or Substantial Allegation of Noncompliance Survey That it does not Comply with Application Program Activities
4-208	231	Model Letter: Announcing to the CLIA-Exempt Laboratory, after a Sample Validation or Substantial Allegation of Noncompliance Survey that it does not Comply with Applicable Program Requirements (No Immediate Jeopardy)
4-209	242	Request for Validation of Accreditation Survey For Laboratories, HCFA-2802A
4-210	228	Model Letter: Announcing to the State Laboratory Program, After a Sample Validation or Substantial Allegation of Noncompliance Survey, that a CLIA-exempt Laboratory does not Comply with Applicable Program Requirements

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-211	232	Model Letter: Announcing to the State Laboratory Program, After a Sample Validation or Substantial Allegation of Noncompliance Survey, that a CLIA-exempt Laboratory does not Comply with Applicable Program Requirements (No Immediate Jeopardy)	
4-212	229	Model Letter: Announcing to the CLIA-Exempt Laboratory, that HCFA will Seek a Temporary Injunction or Restraining Order	
4-213	230	Model Letter: Announcing to the State Laboratory Licensure Program that HCFA will Seek a Temporary Injunction or Restraining Order to Enjoin Continued Operation	
4-214	243	Model Letter: Announcing to a CLIA Exempt Laboratory That it is in Compliance with the CLIA Conditions after a Sample Validation or Substantial Allegation of Noncompliance Survey	
4-215	244	Model Letter: Announcing to the State Laboratory Program, that a CLIA-Exempt Laboratory is in Compliance with the CLIA Conditions after a Sample Validation or Substantial Allegation of Noncompliance Survey	
4-216	Deleted	CLIA Adverse Action Extract, HCFA-462A/B	Obsolete
4-217	Deleted	Notice of Denial of a Laboratory's Request for A CLIA Certificate, or a CLIA Certificate of Accreditation	Obsolete
4-218	246	Model Letter: Regional Office Notifying a State-Operated Laboratory of Cited Deficiencies and Requesting a Plan of Correction	
4-219	247	Notice of (Limitation or) Revocation of a Laboratory's CLIA Certificate - No Immediate Jeopardy	
4-220	235	Notice of Suspension or Limitation of the CLIA Certificate - Immediate Jeopardy	
4-221	248	Notice of Proposed Limitation, Suspension, or Revocation of the CLIA Certificate; Opportunity For a Hearing - No Immediate Jeopardy	
4-222	234	CLIA Notice of Noncompliance and Proposed Alternative Sanction(s) - No Immediate Jeopardy	

LIST OF EXHIBITS - ROM

EXHIBIT

ROM----SOM

Remarks:

4-223	236	Notice of Imposition of Sanction(s); Acknowledgment of Information Received	
4-224	249	Model Letter: Send to the Laboratory in Conjunction with the Notice of Sanction, In order to Officially Inform the Laboratory That the Responsibility Lies with the Laboratory to Achieve Compliance, Even if They Have Successfully Completed the Directed Plan of Correction	
4-225	250	Notice of the Reissuance of a CLIA Certificate In Order to Keep a Laboratory Operational if it Is Due to Expire Prior to the Administrative Hearing	
4-226	251	Model Letter: Offering the Opportunity for a Reconsideration if the Addition of Specialties Or Subspecialties by a Laboratory is Denied By HCFA	
4-227	Deleted	Model Letter: Laboratory Informs RO of Plans to Cease Operation	Obsolete
4-228	Deleted	Model Letter: Laboratory Informs RO that It Has Ceased Operation	Obsolete
4-229	240	Notice of Proposed Limitation of the CLIA Certificate and Suspension of Medicare Payments When a Laboratory Has Failed to Participate Successfully in a Proficiency Testing Program	
4-330	176	Model Letter: Organ Procurement Organization Corrective Action Notice	
4-331	173	Model Letter: Organ Procurement Organization Notice of Termination	
4-332	174	Model Letter: Organ Procurement Organization Notice to Public and State Medicaid/Medicare Agencies	
4-333	175	Model Letter: Organ Procurement Organization Notice to Bordering OPOs	
4-334	168	Organ Procurement Organization Report	

CHAPTER 1
PROGRAM BACKGROUND AND RESPONSIBILITIES

	<u>Section</u>
Medicare and Medicaid - Background	1000
Basis for State Agency (SA) Activities Under Title XVIII and Title XIX of the Act	1002
Title XVIII Agreements with States	1004
HCFA's Role	1006
Adjudication Authority	1008
Certification Related Functions of SA	1010
Explanation of Certification and Survey	1012
Relationship of Survey Date to Date of Initial Medicare Approval	1014
Approval and Correction of Deficiencies	1016
Exceptions to SA Certification	1018
Effect of Accreditation, Licensure, and Other Approval Programs on Medicare Standards	1020

Background**1000. MEDICARE AND MEDICAID - BACKGROUND**

The Social Security Act (the Act) mandates the establishment of minimum health and safety standards which must be met by providers and suppliers participating in the Medicare and Medicaid programs. The Secretary of the Department of Health and Human Services (DHHS) has designated the Health Care Financing Administration (HCFA) to administer the standards compliance aspects of these programs.

A. Medicare Provisions.--Medicare is a Federal insurance program providing a wide range of benefits for specific periods of time through providers and suppliers participating in the program. Providers, in Medicare terminology, are patient care institutions such as hospitals, hospices, nursing homes, and home health agencies. Suppliers are agencies for diagnosis and therapy rather than sustained patient care, such as laboratories, clinics, and physical therapist (PT) offices. The Act designates those providers and suppliers which are subject to Federal health care quality standards. Benefits are payable for most people over age 65, Social Security beneficiaries under 65 entitled to disability benefits, and individuals needing renal dialysis or renal transplantation. Payment for services is made by the Federal Government through designated fiscal intermediaries (FIs) and carriers to the providers and suppliers. Section 1802 of the Act provides that any individual entitled to Medicare may obtain health services from any institution, agency, or person qualified to participate in Medicare if that institution, agency or person provides such services.

B. Medicaid Provisions.--Medicaid is a State program that provides medical services to clients of the State public assistance program and, at the State's option, other needy individuals, as well as augments hospital and nursing facility (NF) services that are mandated under Medicaid. States may decide on the amount, duration, and scope of additional services, except that care in institutions primarily for the care and treatment of mental disease may not be included for persons over age 21 and under age 65. When services are furnished through institutions which must be certified for Medicare, the institutional standards must be met for Medicaid as well. In general, the only types of institutions participating solely in Medicaid are NFs and intermediate care facilities for the mentally retarded (ICFs/MR). Medicaid requires NFs to meet virtually the same requirements that skilled nursing facilities (SNFs) participating in Medicare must meet. ICFs/MR must comply with special Medicaid standards. 42 CFR Part 431.51 provides Medicaid recipients free choice of providers.

1002. BASIS FOR STATE AGENCY (SA) ACTIVITIES UNDER TITLE XVIII AND TITLE XIX OF THE ACT

Section 1864(a) of the Act directs the Secretary to use the help of State health agencies or other appropriate agencies when determining whether health care entities meet Federal standards. This helping function is termed "provider certification."

Section 1902(a)(9)(A) of the Act requires that a State use this same agency to set and maintain additional standards for the State Medicaid program. Section 1902(a)(33)(B) requires that the State use the agency utilized for Medicare or, if such agency is not the State agency responsible for licensing health institutions, the State use the agency responsible for such licensing to determine whether institutions meet all applicable Federal health standards for Medicaid participation, subject to validation by the Secretary.

The complete Federal requirements are published in the Federal Register, and they are further explained in this manual. (See title 42, Code of Federal Regulations (CFR), Chapter IV.)

1004. TITLE XVIII AGREEMENTS WITH STATES

Agreements between the Secretary and the various States, territories, and the District of Columbia stipulate that SAs designated by the Governors are responsible for the performance of the certification functions created by §1864 of the Act, that the designated agencies will keep necessary and appropriate records to be furnished as required by delegates of the Secretary, and that they will employ management methods, personnel procedures, equal opportunity policies, and merit systems procedures in accordance with agreed upon or established practices. The Secretary agrees to provide funds for the reasonable and necessary costs to the States of performing the functions authorized by the agreements. The lifetime of the agreements is unlimited, but an agreement may be terminated under specific conditions, by action of either of the parties. The Governors have the prerogative to propose modification of the agreements to allow for variations in organizational location of responsibilities within the State for Federal programs and for State health facilities licensure. The SA's responsibility for evaluation and certification may not be redelegated. However, by arrangements which meet the express approval of the Secretary, subsidiary functions such as the performance of surveys and investigations may be assigned to other State government units or other agencies. When the reorganization of a State government affects the responsibilities of the designated agency, or in any way affects the arrangements previously recognized by the §1864 agreement, modification or renegotiation of the agreement may be necessary.

The Secretary may, under §1874 of the Act, contract with State or other agencies for services included in sections of the Act other than §1864 when the Secretary finds that such contracts would be in the interest of effective program operations.

Chapter 4 of this manual contains information on the administration of these agreements.

1006. HCFA'S ROLE

The primary mission of HCFA is to administer the Medicare program and certain related provisions of the Act in a manner which:

- o Promotes the timely and economic delivery of appropriate quality of care to eligible beneficiaries;
- o Promotes beneficiary awareness of the services for which they are eligible; and
- o Promotes efficiency and quality within the total health care delivery system.

Overall policy-making responsibility is centralized in HCFA's Baltimore headquarters, where all aspects of the Medicare program and oversight of the State Medicaid programs are coordinated. HCFA is responsible for:

- o Monitoring, surveillance, and overall administrative control of the certification process including its financial aspects;
- o Establishing operational policy for the certification process; and
- o Conveying operational instructions and official interpretations of policy to the SAs and the HCFA regional offices (ROs).

The HCFA ROs are responsible for assuring that health care providers and suppliers participating in the Medicare and Medicaid programs meet applicable Federal requirements. This is accomplished through various activities. The RO:

- o Makes final determinations of provider and supplier eligibility for participation in the Medicare program. Also assembles information on all determinants of eligibility; approves, denies, or terminates provider agreements and supplier participation; and arranges for FI tie-in with new providers;
- o Evaluates the performance of SAs in interpreting and applying health and safety standards, their assessments of providers and suppliers for compliance with standards, and their use of appropriate administrative procedures;
- o Provides liaison, direction, and technical assistance to SAs in the day-to-day management of the certification process;
- o Interprets HCFA guidelines, policies, and procedures applicable to certification activities;
- o Analyzes and negotiates State Medicare certification budgets; analyzes State spending patterns to assure that funds are economically and appropriately utilized; and allocates SA funds for conducting certification activities;
- o Conducts surveillance and assessments of SA operations and assists SAs in developing the capability to provide direct assistance to providers and suppliers, reviews SA certification actions, and provides feedback to States;
- o Prepares data based on SA survey findings for input into HCFA's Online Data Input and Edit (ODIE) system (ODIE is a subsystem of the Online Survey Certification and Reporting (OSCAR) system, which is a database and retrieval program); analyzes OSCAR data, and provides feedback to SAs on certification information tracked by the system; and
- o Conducts Federal surveys of providers and suppliers to ensure that standards and procedures are being applied in a uniform and consistent manner.

1008. ADJUDICATION AUTHORITY

A. Medicare Approval.--The authority of the Secretary of DHHS to approve, disapprove, or terminate the Medicare participation of certified providers and suppliers is delegated to the ten HCFA ROs.

EXCEPTION: If termination is on grounds of fraud, program abuse, or noncompliance with peer review requirements, the authority to terminate or to establish eligibility for reinstatement reposes with the Office of Inspector General (OIG), DHHS.

B. Medicaid Approval.--With the exception of State-operated Medicaid-only NFs, Medicaid law requires that the same SA which makes the certifications for Medicare provider and supplier eligibility also make the determinations for Medicaid eligibility. The law also requires that there be a designated State Medicaid Agency (SMA) responsible for the overall management of the Medicaid program. (See 42 CFR Part 431.610). For State-operated Medicaid-only NFs, §1919 of the Act specifies that the Secretary will have adjudication authority. There is in each State an

SMA which is ultimately responsible to HCFA for the Medicaid program administration. Each SMA must enter into an interagency agreement with the certifying SA, establishing the adjudicative function of the certifying SA and providing for the application of Federal certification standards and procedures. The SMA must accept the SA's certification decisions as final, but exercises its own determination whether to enter into agreements with the approved providers. (See subsection E.)

C. Compliance With Title VI of the Civil Rights Act of 1964.--Providers are direct recipients of Federal funds and are thus subject to title VI of the Civil Rights Act of 1964. The U.S. Office for Civil Rights (OCR) has the authority to determine whether Medicare providers comply with this non-discrimination statute, and the Conditions of Participation (CoPs) make OCR approval a precondition for Medicare approval by HCFA. Before OCR will issue its approval, it also determines compliance with §504 of the Rehabilitation Act of 1973 as amended by the Rehabilitation Act Amendments of 1974 (which includes a cross reference to the Uniformed Federal Accessibility Standards concerning architectural barriers to the handicapped), the Age Discrimination Act of 1975, and with title IX of the Education Amendments of 1972. (See Exhibit 2) (See 45 C.F. Part 84.)

Regarding Medicaid-only providers, the States themselves are considered the direct recipients of the Federal funds and may be considered to have a direct obligation to assure OCR of their compliance by assuring that funds go to providers who are in compliance. As with Medicare, determinations of civil rights compliance of providers are under the authority of OCR and are preconditions to approving the provider's participation in the Medicaid program.

D. Waivers of Standards.--For a few of the standards, the statute or regulations allow for waivers in the presence of verified temporary shortages of health personnel or in the presence of equivalent alternative patient safeguards. Medicare waiver authority is redelegated to the ROs. Waivers for NFs to provide licensed personnel on a 24 hour basis repose with the States, as does waivers for ICFs/MR. Life safety code (LSC) waivers for NFs are the responsibility of the RO.

E. Look-Behind Authority.--The Secretary has authority under §§1902(a)(33), 1919(g)(3), and 1910(b)(1) of the Act to cancel approval of all Medicaid facilities, including NFs and ICFs/MR, that do not meet Federal health or safety requirements. Such a determination is in lieu of or overrides one by the State and is binding on the SMA. Section 1902(a)(33) gives HCFA the authority to question State determinations regarding Medicaid facilities' compliance with Federal requirements and directs HCFA to make independent and binding determinations concerning the extent to which individual institutions and agencies meet requirements for participation.

Section 1919(g)(3)(A) states that if the State determines that an individual NF meets Federal requirements, but HCFA determines that the facility does not meet such requirements, HCFA's determination as to the facility's noncompliance is binding and supersedes that of the State.

Section 1910(b)(1) (new look-behind) gives HCFA similar authority to terminate the Medicaid approval of ICFs/MR. HCFA's decision to cancel the approval or terminate an ICF/MR can be made as the result of complaint or Federal validation surveys or HCFA's review of SA survey findings.

HCFA also may, under 42 CFR Part 442.30, invalidate a Medicaid provider agreement after determining that the agreement does not constitute valid evidence of the provider's compliance with

the Federal regulatory requirements. In the latter situation, the effect is to deny and recoup all Federal matching funds in the Medicaid payments to the facility that were made under the improper agreement. The authority to investigate and either cancel approval or invalidate improper agreements, called "old" look-behind authority, is redelegated to an office in each HCFA RO.

F. Authorization of Certification Expenditures.--Authority to approve Medicare certification budgets and expenditures is redelegated to the regional administrators (RAs). Authority to approve or disapprove Federal financial participation (FFP) in Medicaid certification expenses is redelegated to the RAs subject to ratification by the Medicaid Bureau, HCFA.

G. Appeals.--All of the appeal authorities do not repose with HCFA. All HCFA RO notices of adverse determinations include instructions on the proper filing and addressing of the appropriate appeal. .

H. Compliance With Civilian Health and Medical Program of Uniformed Services (CHAMPUS) and/or Civilian Health and Medical Program of Veterans Administration (CHAMPVA) Requirements.--For the provision of inpatient hospital services pursuant to admissions occurring on or after January 1, 1987, providers are required to participate in the CHAMPUS/CHAMPVA programs. As mandated by §1866(a)(1)(J) of the Act, providers are subject to implementing regulations governing CHAMPUS/CHAMPVA programs benefits under title 10, §1079 or §1086 of chapter 55 - Medical and Dental Care of the CHAMPUS; and title 38, §613 of chapter 17 - Hospital, Nursing Home, Domiciliary, and Medical Care of the CHAMPVA. Such regulations are found in 32 CFR Part 199 for CHAMPUS and 38 CFR 17.54 for CHAMPVA. Inpatient hospital care to CHAMPUS and/or CHAMPVA beneficiaries is subject to the specific eligibility and medical service limitations set forth in the regulations. Hospitals are to accept CHAMPUS and/or CHAMPVA reimbursement for such services as payment in full. The Secretary has authority under §1866(b)(2) of the Act to terminate provider agreements for noncompliance. (See 42 CFR Part 489.25.)

NOTE: This requirement relates to individuals whose inpatient care is covered under the CHAMPUS and CHAMPVA programs, not to Medicare beneficiaries who, though eligible for these programs, are using Medicare as the primary payor for their services. (See Hospital Manual §2603.E.5.)

I. Compliance With VA Program Requirements.--For the provision of inpatient hospital services pursuant to admissions occurring on or after July 1, 1987, providers must agree to be a participating provider of care to Veterans Administration patients. As mandated by §1866(a)(1)(L) of the Act, providers are subject to implementing regulations governing VA program benefits under title 38, §603. The provision of inpatient hospital care to veterans is subject to the specific limitations set forth in 38 CFR 17.50b. Hospitals must accept VA reimbursement for such services as payment in full. The Secretary has authority under §1866(b)(2) of the Act to terminate provider agreements for noncompliance. (See 42 CFR Part 489.26.)

NOTE: This requirement relates to veterans whose inpatient care is covered under the VA program, not to Medicare beneficiaries who are also eligible for VA coverage. (See Hospital Manual §260.3.B.)

1010. CERTIFICATION RELATED FUNCTIONS OF SA

The functions which the SAs perform under the agreements in §1864 of the Act, are referred to collectively as the certification process. This includes, but are not limited to:

A. Identifying Potential Participants.--The law guarantees to Medicare beneficiaries that payment will be made for health services furnished in or by entities which meet stipulated requirements of the Act. Identification includes those laboratories seeking to participate in the CLIA program.

B. Conducting Investigations and Fact-Finding Surveys.--Verifying how well the health care entities comply with the CoPs/requirements.

C. Certifying and Recertifying.--Certifications are periodically sent to the appropriate Federal or State agencies regarding whether entities, including CLIA laboratories, are qualified to participate in the programs.

D. Explaining Requirements.--Advising providers and potential providers in regard to applicable Federal regulations to enable them to qualify for participation in the programs and to maintain standards of health care consistent with the CoPs/requirements.

Also, as mandated by §§1819(g)(1)(B) and 1919(g)(1)(B) of the Act, States must conduct periodic educational programs for the staff and residents (and their representatives) of SNFs and NFs in order to present current regulations, procedures, and policies.

E. Operating Toll-Free Home Health Hotline.--Maintain a toll-free telephone hotline to collect, maintain, and continually update information on Medicare-certified HHAs. The hotline is also used to receive complaints and answer questions about HHAs in the State or locality. (See §1864(b) of the Act.)

The SA is also authorized to perform numerous other functions under a blanket clause of its SA agreement, by special agreement, or by statute. These include:

F. Identifying Prospective Payment System (PPS) Excluded Institutions. Certification information helps in identifying institutions or components of institutions that meet special requirements qualifying them to be excluded from the Medicare PPS.

G. Participating on Validation Surveys of Accredited Entities.--These surveys are intended to furnish DHHS and Congress a monitoring of the validity of "deeming" that accredited entities meet the CoPs.

H. Proficiency Testing.--Monitor programs of proficiency testing in laboratories and contribute laboratory compliance findings to use in the CLIA Laboratory Certification Program.

I. Direct Data Entry.--Enter data from surveys, follow-up visits, and complaint investigations into the OSCAR/ODIE system, the national mainframe computer system that is used for maintaining and retrieving certification data. Update information about providers, suppliers, and CLIA laboratories in the system when indicated.

J. Nurse Aide Training.--Specify and review Nurse Aide Training and Competency Evaluation Programs (NATCEPs) and/or Nurse Aide Competency Evaluation Programs (NACEPs). (See §§1819(e)(1) and 1919(e)(1) of the Act.)

K. Nurse Aide Registry (NAR).--Establish and maintain a registry for all individuals who have satisfactorily completed NATCEP or a NACEP. (See Chapter 4, §4145 of this manual and §§1819(e)(2) and 1919(e)(2) of the Act.)

L. Resident Assessment Instrument (RAI).--Specify a RAI for use in the LTC facilities participating in Medicare and/or Medicaid. (See Chapter 4, §4145.4 of this manual.)

M. Records and Reports.--Maintain pertinent survey, certification, statistical, or other records for a period of at least 4 years and make reports in the form and content as the Secretary may require.

1012. EXPLANATION OF CERTIFICATION AND SURVEY

A. Meaning of Certification.--Certification is when the SA officially certifies its findings whether health care entities meet the Act's provider or supplier definitions, and whether the entities comply with standards required by Federal regulations. SAs do not have Medicare determination-making functions or authorities. Their certifications are the crucial evidence relied upon by the ROs in approving health care entities to participate in Medicare and CLIA. Recertifications are performed periodically by the SAs.

Regardless of whether the finding is for Medicare, Medicaid, or CLIA purposes, the SA surveys an institution in exactly the same way to ascertain whether it meets the Federal health and safety requirements for participation. However, when the institution participates only in Medicaid, the SA finding constitutes a binding adjudicative determination. When the institution participates in both Medicare and Medicaid, the RO determination is binding for both programs regardless of whose decision prevails in the case of SNFs and NFs.

Surveys are necessary for the SA to be able to certify. The law provides Federal funding for these surveys. SAs survey many institutions simultaneously for Medicare, Medicaid, and State licensure, and sometimes for other inspection programs, so the costs are equitably allocated between the sharing programs.

Part of a survey may concern a provider's efforts to prevent environmental hazards due to contagion, fire, contamination, or structural design and maintenance problems. However, a survey is not a mere building inspection nor a "white glove inspection" which, on no more than an annual basis, would be pointless. Its more realistic focus is ascertaining that the responsible provider officials and key personnel are effectively doing all they must do to protect health and safety.

Many aspects of the survey are accomplished by scrutinizing the provider's records to show that professional staff members have been properly noting and evaluating the progress of patients' care or managing provider operations with continuing vigilance. Surveys of SNFs, NFs, HHAs, and ICFs/MR are conducted in accordance with outcome oriented survey protocols, which were designed to concentrate on patient/resident/client outcomes of care in determining the provider's

compliance with the Federal requirements rather than focusing on "process oriented" requirements. The certification is not questioned merely on grounds that the institution has expanded, moved, or slightly modified the scope of its services, unless it might have changed the quality of the services provided or type of certification in doing so. (Refer to 42 CFR Part 488.26 and 488.330.)

1014. RELATIONSHIP OF SURVEY DATE TO DATE OF INITIAL MEDICARE APPROVAL

A provider or supplier cannot begin to have its services covered and reimbursed by Medicare until the date on which it is found, via the certification process, to be in compliance with all applicable CoPs or in substantial compliance with the requirements for SNFs and NFs, or Conditions for Coverage if it is a supplier (42 CFR Part 489.13). A laboratory with a CLIA registration certificate is an exception to this rule. In most cases, it usually is impossible to schedule and complete a survey, i.e., ascertain actual compliance with all applicable requirements, on the date a new institution opens its doors. The institution generally must operate for a short initial period without Medicare payment for its services.

1016. APPROVAL AND CORRECTION OF DEFICIENCIES

The Medicare CoPs, Requirements for SNFs and NFs, and Conditions for Coverage are sets of requirements for acceptable quality in the operation of health care entities. There is a set of Conditions, or Requirements for SNFs and NFs, for each type of provider or supplier subject to SA certification. In addition to each Condition, or Requirement for SNFs and NFs, is a group of related quality standards, with the Condition or Requirement expressed in a summary lead sentence or paragraph characterizing the quality or result of operations to which all the subsidiary standards are directed. The SA ascertains, by a survey conducted by qualified health professionals, whether and how each standard is met. While an institution may fail to comply with one or more of the subsidiary standards during any given survey, it cannot participate in Medicare unless it meets each and every Condition or attains substantial compliance with requirement for SNFs and NFs.

(Many Condition or Requirement summaries are identical to statements of the statute.) The essence of what the SA certifies to HCFA is a finding of whether each institution meets each of the Conditions or substantially meets each Requirement for SNFs and NFs applicable to it.

The SA prepares its certification for the RO, send the institution a statement of deficiencies, Form HCFA-2567. The institution is given 10 days in which to respond with a Plan of Correction (PoC) for each cited deficiency, and enters this response on the form containing the statement of deficiencies. (This form is available for public inspection at the SA office and the nearest RO.)

If the institution has not come into compliance with all conditions or requirements for SNFs and NFs within the time period accepted as reasonable, the SA certifies noncompliance notwithstanding a PoC.

The SA's finding constitutes a final determination (except in the case of a State-operated Medicaid-only NF or a NF subject to a validation survey or a review by HCFA when HCFA's decision is binding), when a Medicaid-only facility is noncompliant. The SMA must undertake either an action to terminate the noncomplying facility's Medicaid participation or, if a NF, apply one or more of the remedies specified in §1919(h) of the Act, or may do both.

1018. EXCEPTIONS TO SA CERTIFICATION

A. Federal and Indian Health Institutions.--Because of questions of intergovernmental jurisdiction, the survey and certification of a hospital or SNF that is either owned or operated by the Indian Health Service (IHS) (and therefore considered to be a Federal provider of services) is handled by the RO. The SA is responsible, however, for determining whether the facility meets Medicaid certification requirements. The SA may accept Medicare certification as sufficient evidence of meeting Medicaid requirements, or the SA may conduct a survey.

Indian health tribal facilities are not considered to be Federal providers and are surveyed by the SA.

B. Christian Science Sanatoria.--Section 1861(e) of the Act includes in the definition of "hospital" a Christian Science Sanatorium which is operated or listed and certified by the First Church of Christ, Scientist, in Boston, Massachusetts, with respect to certain items and hospital services furnished to inpatients. Section 1861(y) includes sanatoria with respect to items and services furnished to inpatients in a long term care setting. All approvals are handled by the Boston RO. No SA certifications are necessary. The State may also include these services under the State plan for Medicaid.

C. Accredited Hospitals.--Sections 1861(e) and 1865(a) of the Act allow institutions accredited as hospitals by the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) or by the American Osteopathic Association (AOA) to be deemed to meet the CoPs, with the exception of the following:

- o The utilization review (UR) condition;
- o A standard promulgated by the Secretary which is a higher-than-accreditation requirement;
- o The two special Conditions for psychiatric hospitals; and
- o Any higher-than-national standards approved by the Secretary and applied in a particular State.

D. Accredited HHAs.--HHAs accredited by the Community Health Accreditation Program (CHAP) as of August 28, 1992, and JCAHO as of September 28, 1993, are deemed to meet the CoPs.

E. Accredited ASCs.--ASC's accredited by the Accreditation for Ambulatory Health Care (AAHHC) and the JCAHO as of December 19, 1996, are deemed to meet the CoPs.

F. Accredited CLIA Laboratories.--Because each accrediting organization that has received deeming authority (under CLIA) is approved for specific laboratory specialties/subspecialties consult the RO for specific guidance. Refer to Chapter six for additional information on accrediting organizations. Each of the following organizations are approved for distinct specialties/subspecialties:

- o American Association of Blood Banks;
- o American Osteopathy Association;

- o American Society of Histocompatibility and Immunogenetics;
- o Joint Commission on Accreditation of Healthcare Organizations;
- o College of American Pathologists; and,
- o Commission on Office Laboratory Accreditation

G. Exemption of Laboratories Licensed by States.--CLIA will exempt laboratories in States that have been determined to have laws and regulations in effect that are equal to or more stringent than CLIA requirements. Exempt laboratories must hold a valid State license within the exempt State. Oregon and Washington State have been granted complete exemption. New York State has been granted a partial exemption. Refer to Chapter 6 for additional information on CLIA exempt laboratories organizations.

H. Eligibility for Medicaid Facilities.--Eligibility for Medicaid participation can be established through Medicare deemed status for providers and suppliers that are not required under Medicaid regulations to comply with any requirements other than Medicare participation requirements for that provider or supplier type. See 42 CFR Part 488.6.

1020. EFFECT OF ACCREDITATION, LICENSURE, AND OTHER APPROVAL PROGRAMS ON MEDICARE STANDARDS

Certification requirements, State licensure codes for health facilities, programs for professional licensure and accreditation, and medical assistance standards are all related. Coordinate the SA certification activities with the other programs; thus, certification builds upon State and national accreditation programs. Interchange of information between the certifying agency, accrediting organizations, State licensure programs, and State medical assistance programs about program standards and institutions that participate in these programs is important. Development of these relationships is encouraged.